

05-24-05

IFW/AF



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Altomare et al.  
Serial No. : 09/397,704  
Filed : September 16, 1999

Art Unit : 3624  
Examiner : Jagdish Patel

Title : SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED  
EQUITY LINKED FINANCIAL INSTRUMENTS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: ED155520873US

Date of Deposit: May 23, 2005

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AMENDMENT TRANSMITTAL  
RESPONSE AND AMENDMENT UNDER 37 C.F.R. § 1.116

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Beth H. Retort

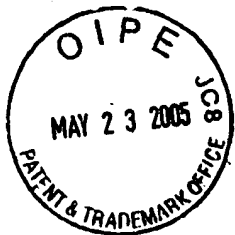
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(Express Mail Certificate [8-3])



Attorney's Docket No. 040158

**PATENT**

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Serial No. : 09/397,704  
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Art Unit : 3624  
Examiner : Jagdish Patel

Title : SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL  
PROTECTED EQUITY LINKED FINANCIAL INSTRUMENTS

**Mail Stop Amendment**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**AMENDMENT TRANSMITTAL**

1. Transmitted herewith is an amendment for this application.

**STATUS**

2. Applicant is

- ☐ a small entity. A verified statement:  
☐ is attached.  
☐ was already filed.  
☒ other than a small entity.



PATENT  
040158

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**RESPONSE AND AMENDMENT UNDER 37 C.F.R. § 1.116**

This communication is in reply to the final Office action mailed March 23, 2005 and is made to present rejected claims in better form for consideration on appeal.

**A. INTRODUCTORY COMMENTS**

Reconsideration and allowance are requested in view of the following amendments and remarks. Upon entry of this Amendment, claims 1, 4, 6-8, 10-12, 14, 15, 25, 28-36, and 38-44 will be pending in this application with claims 1, 11, 25 and 28 being independent claims. Support for the claims is found throughout the specification. No new matter has been added.